

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

VO-744

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

10/559,947

INTERNATIONAL APPLICATION NO.

PCT/EP2004/006114

INTERNATIONAL FILING DATE

07 June 2004

PRIORITY DATE CLAIMED

07 June 2003

TITLE OF INVENTION

COOLING PLANT FOR ONE OR MORE SWITCH CABINETS

APPLICANT(S) FOR DO/EO/US

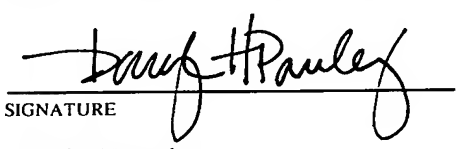
Michael NICOLAI et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☒ This is a **SECOND OR SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
  4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)). (verified)
  7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☐ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). (verified)
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (4 pages, executed, attached to a copy of the International Application)
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:
11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. (3 pages)
  12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. (3 pages total)
  13. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  14. ☐ A substitute specification. (attached to a red-ink marked-up version of the English language translation)
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information:
    - Copy of Notification of Missing Requirements Under 35 U.S.C. 371
    - Certificate of Mailing by Express Mail (2 pages)
    - Return Receipt Postcard
    - Form PTO-1449 (3 pages) and with a copy of each and every non-U.S. Patent reference cited therein

I/ csh

**EXPRESS MAIL NO.: EV924406209US  
MAILED: 08 February 2007  
CUSTOMER NO.: 42419**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/559,947		INTERNATIONAL APPLICATION NO. PCT/EP2004/006114		ATTORNEY'S DOCKET NUMBER VO-744	
17. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):</b> Basic National Filing Fee ..... \$ 300.00 National Stage Search Fee ..... \$ 500.00 National Stage Examination Fee ..... \$ 200.00				<b>CALCULATIONS</b> <span style="float: right;">PTO USE ONLY</span>	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>					
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims			X \$50.00		
Independent claims			X \$200.00		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00		
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 130.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					
<b>SUBTOTAL =</b>				\$ 130.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	
<b>TOTAL NATIONAL FEE =</b>				\$ 130.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	
<b>TOTAL FEES ENCLOSED =</b>				\$ 170.00	
				Amount to be: refunded \$	
				charged \$	
a. <input checked="" type="checkbox"/> A check in the amount of \$170.00 to cover the above fee is enclosed.  b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.  c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-3550</u> . A duplicate copy of this sheet is enclosed.					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:  Pauley Petersen & Erickson 2800 West Higgins Road, Suite 365 Hoffman Estates, Illinois 60195 (847) 490-1400 Fax: (847) 490-1403				<div style="text-align: center;">             SIGNATURE            Douglas H. Pauley            NAME         </div> <div style="text-align: center;">           02/13/2007 GFREY1 00000094 10559947            33,295            01 FC:1617 130.00 OP            REGISTRATION NUMBER         </div>	

DEC 11 2006



UNITED STATES PATENT AND TRADEMARK OFFICE

Pauley Petersen &amp; Erickson

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/559,947	Michael Nicolai	VO-744

42419  
 PAULEY PETERSEN & ERICKSON  
 2800 WEST HIGGINS ROAD  
 SUITE 365  
 HOFFMAN ESTATES, IL 60195

INTERNATIONAL APPLICATION NO.

PCT/EP04/06114

I.A. FILING DATE

06/07/2004

PRIORITY DATE

06/07/2003

CONFIRMATION NO. 1506

371 FORMALITIES LETTER



\*OC000000021530110\*

Date Mailed: 12/08/2006

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 12/07/2005
- English Translation of the IA filed on 12/07/2005
- Copy of the International Search Report filed on 12/07/2005
- Preliminary Amendments filed on 12/07/2005
- Request for Immediate Examination filed on 12/07/2005
- U.S. Basic National Fees filed on 12/07/2005
- Substitute Specification filed on 12/07/2005
- Priority Documents filed on 12/07/2005
- Specification filed on 12/07/2005
- Claims filed on 12/07/2005
- Abstracts filed on 12/07/2005
- Drawings filed on 12/07/2005

*Response to Notice of Abg. Rep.*  
**DOCKETED**  
 DATE 08 Feb. 07  
 ATTORNEY [Signature]  
 ENTERED [Signature] crn  
 007484

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

## SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$130** for a Large Entity:

- **\$130** Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at **1-866-217-9197** or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

KAREN R MCLEAN

Telephone: (703) 308-9140 EXT 214

## PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/559,947	PCT/EP04/06114	VO-744

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Michael NICOLAI  
Martin DÖRRICH

Title: COOLING PLANT FOR ONE OR MORE  
SWITCH CABINETS

Serial No.: 10/559,947

Based Upon: PCT/EP2004/006114

Express Mail No.: EV924406209US

Date of Deposit: 08 February 2007

Customer No.: 42419

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

**Mail Stop PCT**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that the following requisites of the subject Patent Application are being deposited with the United States Postal Service as Express Mail Post Office to Addressee No. EV924406209US, on 08 February 2007, and is addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, together with the items listed below.

- Transmittal Letter (Form PTO-1390) (2 pages), in duplicate



Serial No.: 10/559,947

- Executed German Language Declaration (4 pages), attached to a German language copy of the International Application
- First Information Disclosure Statement (3 pages), together with Form PTO-1449 (3 pages), and with a copy of each and every cited non-U.S. Patent reference
- Recordation Form Cover Sheet, together with executed Assignment Document (3 pages total)
- A check in the amount of \$170.00 to cover the fees set forth in the Transmittal Letter
- Copy of the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)
- Return Receipt Postcard

Respectfully submitted,

Douglas H. Pauley  
Registration No. 33,295

Pauley Petersen & Erickson  
2800 West Higgins Road; Suite 365  
Hoffman Estates, Illinois 60169  
TEL (847) 490-1400  
FAX (847) 490-1403